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10658 U.S. PTO

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PTO/SB/05 (11-00)  
Approved for use through 10/31/2002. OMB 0651-0032  
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.	A01073
First Inventor	Jane Elizabeth Weier
Title	Functional Liquid-Solid Additive Systems: ...
Express Mail Label No.	EF150160780US

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. <input checked="" type="checkbox"/>	Fee Transmittal Form (e.g., PTO/SB/17) (Submit an original and a duplicate for fee processing)
2. <input type="checkbox"/>	Applicant claims small entity status. See 37 CFR 1.27.
3. <input checked="" type="checkbox"/>	Specification [Total Pages 70] (preferred arrangement set forth below) <ul style="list-style-type: none"><li>- Descriptive title of the invention</li><li>- Cross Reference to Related Applications</li><li>- Statement Regarding Fed sponsored R &amp; D</li><li>- Reference to sequence listing, a table, or a computer program listing appendix</li><li>- Background of the Invention</li><li>- Brief Summary of the Invention</li><li>- Brief Description of the Drawings (if filed)</li><li>- Detailed Description</li><li>- Claim(s)</li><li>- Abstract of the Disclosure</li></ul>
4. <input type="checkbox"/>	Drawing(s) (35 U. S. C. 113) [ Total Sheets ]
5. <input type="checkbox"/>	Oath or Declaration [ Total Pages ] <ul style="list-style-type: none"><li>a. <input type="checkbox"/> Newly executed (original or copy)</li><li>b. <input type="checkbox"/> Copy from a prior application (37 CFR 1.63 (d)) (for continuation/divisional with Box 18 completed)</li><li>i. <input type="checkbox"/> <b>DELETION OF INVENTOR(S)</b> Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).</li></ul>
6. <input type="checkbox"/>	Application Data Sheet. See 37 CFR 1.76

## ADDRESS TO:

Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

7. <input type="checkbox"/>	CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. <input type="checkbox"/>	Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary) <ul style="list-style-type: none"><li>a. <input type="checkbox"/> Computer Readable Form (CRF)</li><li>b. Specification Sequence Listing on:<ul style="list-style-type: none"><li>i. <input type="checkbox"/> CD-ROM or CD-R (2 copies); or</li><li>ii. <input type="checkbox"/> paper</li></ul></li><li>c. <input type="checkbox"/> Statements verifying identity of above copies</li></ul>

## ACCOMPANYING APPLICATION PARTS

9. <input type="checkbox"/>	Assignment Papers (cover sheet & document(s))
10. <input type="checkbox"/>	37 CFR 3.73(b) Statement of Power of Attorney (when there is an assignee)
11. <input type="checkbox"/>	English Translation Document (if applicable)
12. <input type="checkbox"/>	Information Disclosure Statement (IDS)/PTO-1449 Copies of IDS Citations
13. <input checked="" type="checkbox"/>	Preliminary Amendment
14. <input checked="" type="checkbox"/>	Return Receipt Postcard (MPEP 503) (Should be specifically itemized)
15. <input type="checkbox"/>	Certified Copy of Priority Document(s) (if foreign priority is claimed)
16. <input type="checkbox"/>	Request and Certification under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
17. <input type="checkbox"/>	Other: _____

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

<input type="checkbox"/> Continuation	<input type="checkbox"/> Divisional	<input type="checkbox"/> Continuation-in-part(CIP)	of prior application No.: _____
Prior application information: Examiner _____			Group Art Unit _____

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 19 CORRESPONDENCE ADDRESS

<input checked="" type="checkbox"/>	Customer Number or Bar Code Label	(Insert Customer Number or Bar Code Label here)	or <input type="checkbox"/>	Correspondence address below
Name	Jeffrey H. Rosedale, Ph.D., J.D.			
Address	ROHM AND HAAS 201898 100 Independence Mall West			
City	Philadelphia	State	PA	Zip Code 19106
Country	USA	Telephone	215-785-8300	Fax 215-592-2682

Name (Print/Type)	Jeffrey H. Rosedale, Ph.D., J.D.	Registration No. (Attorney/Agent)	46,018
Signature	Jeffrey H. Rosedale	Date	8/31/01

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08/31/01

# FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

## Complete if Known

Application Number	09/944,290
Filing Date	August 31, 2001
First Named Inventor	Jane Elizabeth Weier
Examiner Name	Not Yet Assigned
Group Art Unit	1714
Attorney Docket No.	A01071

TOTAL AMOUNT OF PAYMENT (\$ ) 130

## METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:
- Deposit Account Number **18-1850**
- Deposit Account Name **Rohm and Haas Company**
- ☐ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17
- ☐ Applicant claims small entity status. See 37 CFR 1.27
2. ☐ Payment Enclosed:
- ☐ Check ☐ Credit card ☐ Money Order ☐ Other

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity Code (\$)	Small Entity Code (\$)	Fee Description	Fee Paid
101	710	201 355 Utility filing fee	
106	320	206 160 Design filing fee	
107	490	207 245 Plant filing fee	
108	710	208 355 Reissue filing fee	
114	150	214 75 Provisional filing fee	

SUBTOTAL (1) (\$ )

### 2. EXTRA CLAIM FEES

Total Claims  -20\*\* =  X  =

Independent Claims  -3\*\* =  X  =

Multiple Dependent  =

Large Entity Code (\$)	Small Entity Code (\$)	Fee Description	Fee Paid
103	18	203 9 Claims in excess of 20	
102	80	202 40 Independent claims in excess of 3	
104	270	204 135 Multiple dependent claim, if not paid	
109	80	209 40 **Reissue independent claims over original patent	
110	18	210 9 **Reissue claims in excess of 20 and over original patent	

SUBTOTAL (2) (\$ )

\*\*or number previously paid, if greater, For Reissues, see above

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES


Large Entity Code (\$)	Small Entity Code (\$)	Fee Description	Fee Paid
105	130	205 65 Surcharge - late filing fee or oath	130
127	50	227 25 Surcharge - late provisional filing fee or cover sheet	
139	130	139 130 Non-English specification	
147	2,520	147 2,520 For filing a request for ex parte reexamination	
112	920*	112 920* Requesting publication of SIR prior to Examiner action	
113	1,840*	113 1,840* Requesting publication of SIR after Examiner action	
115	110	215 55 Extension for reply within first month	
116	390	216 195 Extension for reply within second month	
117	890	217 445 Extension for reply within third month	
118	1,390	218 695 Extension for reply within fourth month	
128	1,890	228 945 Extension for reply within fifth month	
119	310	219 155 Notice of Appeal	
120	310	220 155 Filing a brief in support of an appeal	
121	270	221 135 Request for oral hearing	
138	1,510	138 1,510 Petition to institute a public use proceeding	
140	110	240 55 Petition to revive - unavoidable	
141	1,240	241 620 Petition to revive - unintentional	
142	1,240	242 620 Utility issue fee (or reissue)	
143	440	243 220 Design issue fee	
144	600	244 300 Plant issue fee	
122	130	122 130 Petitions to the Commissioner	
123	50	123 50 Processing fee under 37 CFR 1.17(q)	
126	180	126 180 Submission of Information Disclosure Stmt	
581	40	581 40 Recording each patent assignment per property (times number of properties)	
146	710	246 355 Filing a submission after final rejection (37 CFR \$ 1.1 29(a))	
149	710	249 355 For each additional invention to be examined (37 CFR \$ 1.129(b))	
179	710	279 355 Request for Continued Examination (RCE)	
169	900	169 900 Request for expedited examination of a design application	

Other fee (specify) \_\_\_\_\_

\* Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ ) 130

## SUBMITTED BY

Name (Print/Type)	Stephen T. Falk	Registration No. (Attorney/Agent)	36,795	Telephone	215-592-6745
Signature		Date	10/19/01		

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

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**FEE TRANSMITTAL  
for FY 2001**

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT

(\$ 790

**Complete if Known**

Application Number	
Filing Date	Herewith
First Named Inventor	Jane Elizabeth Weier
Examiner Name	Not Yet Assigned
Group Art Unit	Not Yet Assigned
Attorney Docket No.	A01073

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- ☒
- The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number	18-1850
Deposit Account Name	Rohm and Haas Company

- ☐ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17
- ☐ Applicant claims small entity status. See 37 CFR 1.27

- 2.
- ☐
- Payment Enclosed:

☐ Check ☐ Credit card ☐ Money Order ☐ Other

**FEE CALCULATION****1. BASIC FILING FEE**

Large Entity Code (\$)	Small Entity Code (\$)	Fee Description	Fee Paid
101	710	201 355 Utility filing fee	710
106	320	206 160 Design filing fee	
107	490	207 245 Plant filing fee	
108	710	208 355 Reissue filing fee	
114	150	214 75 Provisional filing fee	

SUBTOTAL (1) (\$ 710

**2. EXTRA CLAIM FEES**

Total Claims	Extra Claims	Fee from below	Fee Paid
20	-20** = 0	18	0
4	-3** = 1	80	80
		0	0

Large Entity Code (\$)	Small Entity Code (\$)	Fee Description
103	18	203 9 Claims in excess of 20
102	80	202 40 Independent claims in excess of 3
104	270	204 135 Multiple dependent claim, if not paid
109	80	209 40 **Reissue independent claims over original patent
110	18	210 9 **Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$ 80

\*\*or number previously paid, if greater, For Reissues, see above

**FEE CALCULATION (continued)****3. ADDITIONAL FEES**

Large Entity Code (\$)	Small Entity Code (\$)	Fee Description	Fee Paid
105	130	205 65 Surcharge - late filing fee or oath	
127	50	227 25 Surcharge - late provisional filing fee or cover sheet	
139	130	139 130 Non-English specification	
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141	1,240	241 620 Petition to revive - unintentional	
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123	50	123 50 Processing fee under 37 CFR 1.17(g)	
126	180	126 180 Submission of Information Disclosure Stmt	
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149	710	249 355 For each additional invention to be examined (37 CFR § 1.129(b))	
179	710	279 355 Request for Continued Examination (RCE)	
169	900	169 900 Request for expedited examination of a design application	

Other fee (specify) \_\_\_\_\_

\* Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ 0

**SUBMITTED BY**

Name (Print/Type)	Jeffrey H. Rosedale, Ph.D., J.D.	Registration No. (Attorney/Agent)	46,018	Complete (if applicable)	Telephone	215-785-8300
Signature	<i>Jeffrey H. Rosedale</i>	Date	8/31/01			

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PTO/SB/17 (11-00)

# PATENT

Docket No. A01073

In re application of:  
Jane Elizabeth Weier, et al. :

Serial No: Not Yet Assigned : Group Art Unit: Not Yet Assigned

Filed: Herewith : Examiner: Not Yet Assigned

**For: Functional Liquid-Solid Additive Systems:  
Compositions, Processes, and Products Thereof**

Assistant Commissioner for Patents  
Washington, DC 20231

## CERTIFICATE OF EXPRESS MAILING

Sir:

I hereby certify that the following correspondence is being deposited with the U.S. Postal Service as Express Mail with the U.S. Postal Service in an envelope addressed to the Assistant Commissioner for Patents, Washington, DC 20231 on the date indicated next to my signature below:

Utility Patent Application Transmittal  
Nonprovisional Patent Application  
Fee Transmittal (in duplicate)  
Preliminary Amendment  
~~\_\_\_\_\_~~  
Return Receipt Postcard

August 31, 2001  
Date

Becky Knauth  
Signature

U.S. Post Office Express Mail Label #EF150160780US

In connection with the below identified patent application, we  
hereby acknowledge receipt of:

Response to Notice to File Missing Parts of Application  
Copy of Notice to File Missing Parts of Nonprovisional  
Application  
Missing Parts - Declaration and Power of Attorney  
Fee Transmittal (in duplicate)  
Certificate of Mailing

DN. A01071 Ser. No. 09/944,290 Filed 08/31/01  
Certificate of Mailing: ☒ Yes ☐ No  
Date Mailed October 19, 2001 Initials STF(JHR)/ams

In connection with the below identified patent application, we hereby acknowledge receipt of:

**Utility Patent Application Transmittal  
Nonprovisional Patent Application  
Fee Transmittal (in duplicate)  
Preliminary Amendment  
[REDACTED]  
Certificate of Express Mailing**

DN. A01071 Ser. No. ---- Filed Herewith  
Certificate of Mailing: ☒ Yes ☐ No